

Sheet 1 of 10

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. <b>003-007-C5</b>	Application No. <b>10/006,088</b>
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary). (37 CFR §1.98(b))		Applicant <b>SLIWA et al.</b>	
		Filing Date <b>December 5, 2001</b>	Group Art Unit <b>3739</b>

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS
MP	A1	3,862,627	01/1975	Hans, Sr.		
	A2	4,802,475	02/1989	Weshahy		
	A3	4,815,470	03/1989	Curtis et al.		
	A4	4,872,346	10/1989	Kelly-Fry et al.		
	A5	4,917,095	04/1990	Fry et al.		
	A6	4,936,281	06/1990	Stasz, Peter		
	A7	5,080,102	01/1992	Dory		
	A8	5,108,390	04/1992	Potocky et al.		
	A9	5,147,355	09/1992	Friedman et al.		
	A10	5,222,501	06/1993	Ideker et al.		
	A11	5,224,943	07/1993	Goddard		
	A12	5,231,995	08/1993	Desai		
	A13	5,254,116	10/1993	Baust et al.		
	A14	5,263,493	11/1993	Avitall		
	A15	5,269,291	12/1993	Carter, Robert E.		
	A16	5,281,215	01/1994	Milder		
	A17	5,295,484	03/1994	Marcus et al.		
	A18	5,323,781	06/1994	Ideker et al.		
	A19	5,324,284	06/1994	Imran		
	A20	5,334,181	08/1994	Rubinsky et al.		
	A21	5,348,554	09/1994	Imran et al.		
	A22	5,353,783	10/1994	Nakao et al.		
	A23	5,354,258	10/1994	Dory		
	A24	5,385,148	01/1995	Lesh et al.		
	A25	5,405,376	04/1995	Mulier et al.		
	A26	5,423,807	06/1995	Milder		
	A27	5,423,811	06/1995	Imran et al.		
	A28	5,431,649	07/1995	Mulier et al.		
	A29	5,433,708	07/1995	Nichols et al.		
	A30	5,435,308	07/1995	Gallup et al.		
	A31	5,437,651	08/1995	Todd et al.		
	A32	5,450,843	09/1995	Moll et al.		
	A33	5,462,545	10/1995	Wang et al.		
	A34	5,465,717	11/1995	Imran et al.		
	A35	5,469,853	11/1995	Law et al.		
MP	A36	5,478,330	12/1995	Imran et al.		

Examiner Signature

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EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Sheet 2 of 10

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<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)				Applicant SLIWA et al.			
				Filing Date December 5, 2001		Group Art Unit 3739	
(37 CFR §1.98(b))							
EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	
MP	A37	5,487,385	01/1996	Avitall			
	A38	5,487,757	01/1996	Truckai et al.			
	A39	5,500,012	03/1996	Brucker et al.			
	A40	5,520,682	05/1996	Baust et al.			
	A41	5,536,267	07/1996	Edwards et al.			
	A42	5,545,195	08/1996	Lennox et al.			
	A43	5,545,200	08/1996	West et al.			
	A44	5,549,661	08/1996	Kordis et al.			
	A45	5,555,883	09/1996	Avitall			
	A46	5,560,362	10/1996	Sliwa, Jr. et al.			
	A47	5,571,088	11/1996	Lennox et al.			
	A48	5,575,766	11/1996	Swartz et al.			
	A49	5,575,810	11/1996	Swanson et al.			
	A50	5,578,007	11/1996	Imran			
	A51	5,582,609	12/1996	Swanson et al.			
	A52	5,588,432	12/1996	Crowley			
	A53	5,590,657	01/1997	Cain et al.			
	A54	5,595,183	01/1997	Swanson et al.			
	A55	5,607,462	03/1997	Imran			
	A56	5,617,854	04/1997	Munsif			
	A57	5,630,837	05/1997	Crowley			
	A58	5,637,090	09/1997	McGee et al.			
	A59	5,643,197	07/1997	Brucker et al.			
	A60	5,656,029	08/1997	Imran et al.			
A61	5,658,278	08/1997	Imran et al.				
A62	5,671,747	09/1997	Connor				
A63	5,673,695	10/1997	McGee et al.				
A64	5,676,662	10/1997	Fleischhacker et al.				
A65	5,676,692	10/1997	Sanghvi et al.				
A66	5,676,693	10/1997	LaFontaine				
A67	5,678,550	10/1997	Bassen et al.				
A68	5,680,860	10/1997	Imran				
A69	5,681,278	10/1997	Igo et al.				
A70	5,681,308	10/1997	Edwards et al.				
A71	5,687,723	11/1997	Avitall				
A72	5,688,267	11/1997	Panescu et al.				
MP	A73	5,690,611	11/1997	Swartz et al.			
	A74	5,697,925	12/1997	Taylor			

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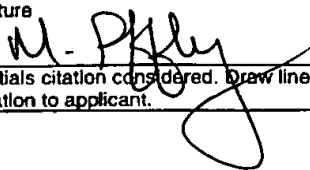
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MP	A75	5,697,927	12/1997	Imran et al.	/	/	
	A76	5,697,928	12/1997	Walcott et al.			
	A77	5,713,942	02/1998	Stern			
	A78	5,716,389	02/1998	Walinsky et al.			
	A79	5,718,701	02/1998	Shai et al.			
	A80	5,718,241	02/1998	Ben-Haim et al.			
	A81	5,720,775	02/1998	Lanard			
	A82	5,730,074	03/1998	Peter			
	A83	5,730,127	03/1998	Avitall			
	A84	5,730,704	03/1998	Avitall			
	A85	5,733,280	03/1998	Avitall			
	A86	5,735,280	04/1998	Sherman et al.			
	A87	5,735,290	09/1998	Nelson et al.			
	A88	5,755,760	05/1998	Maguire et al.			
	A89	5,782,828	07/1998	Chen et al.			
	A90	5,785,706	07/1998	Bednarek, Michael C.			
	A91	5,797,960	08/1998	Stevens et al.			
	A92	5,800,428	09/1998	Nelson et al.			
	A93	5,800,482	09/1998	Pomeranz et al.			
	A94	5,810,802	09/1998	Panescu et al.			
	A95	5,827,216	10/1998	Igo et al.			
	A96	5,836,947	11/1998	Fleischman et al.			
	A97	5,840,030	11/1998	Ferek-Petric et al.			
A98	5,844,349	12/1998	Oakley et al.				
A99	5,849,028	12/1998	Chen				
A100	5,871,523	02/1999	Fleischman et al.				
A101	5,871,525	02/1999	Edwards et al.				
A102	5,873,845	02/1999	Cline et al.				
A103	5,876,399	03/1999	Chia et al.				
A104	5,879,295	03/1999	Li et al.				
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A106	5,882,346	03/1999	Pomeranz et al.				
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A108	5,893,848	04/1999	Negus et al.				
A109	5,895,417	04/1999	Pomeranz et al.				
A110	5,897,554	04/1999	Chia et al.				
A111	5,899,899	05/1999	Arless et al.				
MP	A112	5,902,289	05/1999	Swartz et al.			

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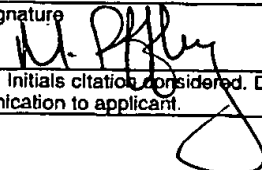
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Sheet 4 of 10

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EXAMINER INITIAL	*	DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	
MP	A113	5,904,711	05/1999	Flom et al.			
	A114	5,906,580	05/1999	Kline-Schoder et al.			
	A115	5,916,214	06/1999	Cosio et al.			
	A116	5,921,924	07/1999	Avitall			
	A117	5,921,982	07/1999	Lesh et al.			
	A118	5,928,191	07/1999	Houser et al.			
	A119	5,927,284	07/1999	Borst et al.			
	A120	5,931,810	08/1999	Grabek			
	A121	5,931,848	08/1999	Saadat			
	A122	5,954,661	09/1999	Greenspon et al.			
	A123	5,971,980	10/1999	Sherman			
	A124	5,971,983	10/1999	Lesh			
	A125	5,993,447	11/1999	Blewett et al.			
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	A127	6,012,457	01/2000	Lesh			
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	A129	6,071,279	06/2000	Whayne et al.			
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	A131	6,113,592	09/2000	Taylor			
	A132	6,117,101	09/2000	Diederich et al.			
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A144	6,293,943 B1	09/2001	Panescu et al.				
A145	6,296,619 B1	10/2001	Briskin et al.				
A146	6,302,880 B1	10/2001	Schaer				
A147	6,311,692	11/2001	Vaska et al.				
A148	6,312,383 B1	11/2001	Lizzi et al.				
A149	6,314,962 B1	11/2001	Vaska et al.				
MP	A150	6,314,963	11/2001	Vaska et al.			
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Sheet 5 of 10

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EXAMINER INITIAL	*	DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	
WJ	A151	6,325,797	12/2001	Stewart et al.			
	A152	6,332,881	12/2001	Carner et al.			
	A153	2002/0022839A1	02/2002	Stewart et al.			
	A154	2002/0026183A1	02/2002	Simpson			
	A155	6,361,531	03/2002	Hissong, James B.			
	A156	6,364,876	04/2002	Erb et al.			
	A157	6,368,275 B1	04/2002	Sliwa et al.			
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	A159	2002/0062124A1	05/2002	Keane			
	A160	6,383,151	05/2002	Diederich et al.			
	A161	6,385,472 B1	05/2002	Hall et al.			
	A162	6,398,792	06/2002	O'Connor			
	A163	2002/0087151	07/2002	Mody et al.			
	A164	2002/0087208A1	07/2002	Koblish et al.			
	A165	6,413,254	07/2002	Hissong et al.			
	A166	6,419,648 B1	07/2002	Vitek et al.			
	A167	6,425,867	07/2002	Vaezy et al.			
	A168	6,430,426	08/2002	Avitall			
A169	6,447,507	09/2002	Bednarek et al.				
A170	2002/0143326A1	10/2002	Foley et al.				
A171	6,461,314	10/2002	Pant et al.				
A172	6,471,697	10/2002	Lesh				
A173	6,461,956 B1	10/2002	Patterson				
A174	6,464,700 B1	10/2002	Koblish et al.				
A175	6,471,698 B1	10/2002	Edwards et al.				
A176	6,474,340 B1	11/2002	Vaska et al.				
A177	6,477,396 B1	11/2002	Mest et al.				
WJ	A178	6,484,727 B1	11/2002	Vaska et al.			
	A179	6,527,767 B1	03/2003	Wang et al.			


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**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANS- LATION?
WJ	B1	GB 2 094 636	09/1982	UK			
	B2	AU A-70522/96	11/1994	Australia			
	B3	WO 95/10318	04/1995	PCT			
	B4	WO 95/10319	04/1995	PCT			
	B5	WO 95/17222	06/1995	PCT			
	B6	WO 95/15115	06/1995	PCT			
	B7	WO 95/30380A	11/1995	PCT			
	B8	GB 2 289 510A	11/1995	UK			
	B9	WO 96/10961	04/1996	PCT			
	B10	WO 97/06727	02/1997	PCT			
	B11	WO 97/18853	05/1997	PCT			
	B12	WO 97/25918	07/1997	PCT			
	B13	WO 97/33526	09/1997	PCT			
	B14	WO 97/43970	11/1997	PCT			
	B15	WQ 98/24488	06/1998	PCT			
	B16	WO 98/26724	06/1998	PCT			
	B17	WO 98/37822	09/1998	PCT			
	B18	WO 98/49957	11/1998	PCT			
	B19	WO 98/48881	11/1998	PCT			
	B20	WO 99/02096	01/1999	PCT			
	B21	WO 99/04696	02/1999	PCT			
	B22	WO 99/48421A1	09/1999	PCT			
	B23	WO 99/49788	10/1999	PCT			
	B24	WO 99/56812	11/1999	PCT			
	B25	WO 99/59486	11/1999	PCT			
	B26	WO 00/45706	08/2000	PCT			
	B27	WO 00/57495	09/2000	PCT			
	B28	WO 01/03594A1	01/2001	PCT			
	B29	WO 01/05305A1	01/2001	PCT			
	B30	WO 01/28623A2	04/2001	PCT			
	B31	WO 01/45550A2	06/2001	PCT			
	B32	WO 01/66189A1	09/2001	PCT			
	B33	WO 01/70112A1	09/2001	PCT			
	B34	WO 01/72234A1	10/2001	PCT			
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	B36	WO 01/82778A2	11/2001	PCT			

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Sheet 7 of 10

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				Filing Date December 5, 2001		Group Art Unit 3739	
<i>MP</i>	B37	WO 02/05720A1	01/2002	PCT			
	B38	WO 02/05722A1	01/2002	PCT			
	B39	WO 02/05868A2	01/2002	PCT			
	B40	WO 02/077774A2	10/2002	PCT			
	B41	1181896A1	02/2002	EP			
	B42	WO 02/09610A1	02/2002	PCT			
	B43	WO 02/21995A2	03/2002	PCT			
	B44	WO 02/26142A1	04/2002	PCT			
	B45	WO 02/30310A1	01/2002	PCT			
<i>MP</i>	B46	WO 02/40093	05/2002	PCT			
	B47	WO 02/45608A2	06/2002	PCT			

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Sheet 8 of 10

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	Applicant SLIWA et al.		
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EXAMINER INITIAL		Other Art (Including Author, Title, Date, Pages, etc.)
MP	C1	AFx, inc., "FLEX Surgical Ablation Device: Instructions for Use," Document No. 900044 Rev A; March 28, 2000: 1-9
	C2	AFx, inc., "AFx Microwave Generator, Series 1000; User's Manual," Document No. 900067/A/1310, (2000): 1-13
	C3	AFx, inc., "FLEX10™: Accessory for the Afx Microwave Ablation Aystem; Instructions for Use," Document No. 900077/C/1638, (2001): 1-8. Supplemental Document No. 900106/A/1586
	C4	AFx, inc., "LYNX Surgical Ablation Device: Instructions for Use," Document No. 900024/K/1114: 1-4
	C5	Boston Scientific, EP Technologies, "Cobra® Electrosurgical Unit, Operator's Manual: 4810 & 4811," Document No. 11292-001 EAW Ver AC, Feb 2000; pp. 1-1 thru 9-2
	C6	Boston Scientific, EP Technologies, "Cobra® Surgical Probe; Directions for Use," Document No. 13954-001 Rev A, October 2001: page 3
	C7	Boston Scientific, EP Technologies, "Cobra® RF System: The first surgical system for creating linear lesions." Document No. DEP-225 Rev A, Jan 2002
	C8	Caccitolo et al., "Open-Heart Endocardial Radiofrequency Ablation:..." <u>J of Surgical Research</u> , (2001); 97: 27-33
	C9	Chevalier, et al., "Thoracoscopic Epicardial Radiofrequency Ablation for Vagal Atrial Fibrillation in Dogs," <u>PACE</u> June 1999; 22 (Part I), 880-886.
	C10	Cox et al., "The Surgical Treatment of Atrial Fibrillation, IV Surgical Technique," <u>J Thorac Cardiovasc Surg</u> , 1991; 101: 584-592.
	C11	Cox et al., "The Maze III Procedure for Treatment of Atrial Fibrillation," <u>Cardiac Arrhythmias</u> , 78: 460-475.
	C12	Demazumder et al., "Comparison of Irrigated Electrode Designs for Radiofrequency Ablation of Myocardium," <u>J of Interventional Cardiac Electrophysiology</u> , (2001): 391-400
	C13	Elvan et al., "Radiofrequency Catheter Ablation of the Atria Eliminates Pacing-Induced Sustained Atrial Fibrillation and Reduces Connexin in 43 Dogs," <u>Circulation</u> , 1997;96(5):1675-1685.
	C14	Fieguth et al., "Inhibition of Atrial Fibrillation by Pulmonary Vein Isolation and Auricular Resection - Experimental Study in a Sheep Model," <u>European Journal of Cardio-Thoracic Surgery</u> , 1997;11:714-721.
	C15	He et al., "Preliminary Results Using Ultrasound Energy for Ablation of the Ventricular Myocardium in Dogs," <u>Am J Card</u> , 1994;73:1029-1031.
	C16	He et al., "Application of Ultrasound Energy for Intracardiac Ablation of Arrhythmias," <u>The European Society of Cardiology</u> , 1995;16:961-966.
MP	C17	Hunt, John W., "Application of Microwave, Ultrasound and Radiofrequency Heating," <u>Natl Cancer Inst Monogr</u> , (1982); 61: 447-456
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EXAMINER INITIAL		Other Art (Including Author, Title, Date, Pages, etc.)			
NP	C18	Hynynen et al., "Cylindrical Ultrasonic Transducers for Cardiac Catheter Ablation," <i>IEEE Transactions on Biomedical Engineering</i> , 1997;44(2):144-151.			
	C29	Inoue et al., "Video Assisted Thoracoscopic and Cardioscopic Radiofrequency Maze Ablation," <i>ASAIO Journal</i> , 1997;43:334-337.			
	C20	Jumrussirikul et al., "Prospective Comparison of Temperature Guided Microwave and Radiofrequency Catheter Ablation in the Swine Heart," <i>PACE</i> (1998); 21: 1364-1374			
	C21	Lee, et al., "High Intensity Focused Ultrasound Effect on Cardiac Tissues: Potential for Clinical Application," <i>Echocardiography</i> , (2000) Vol 17, No 6, Part 1: 563-566			
	C22	Liem et al. "Microwave Catheter Ablation Using a Clinical Prototype System with a Lateral Firing Antenna Design," <i>PACE</i> , (1998); 21 [pt 1]: 714-721			
	C23	McRury, Ian D., Haines, David E., "Ablation for the Treatment of Arrhythmias," <i>Proceedings of the IEEE</i> , (1996); Vol 84, No 3: 404-415			
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Examiner Signature		-Date Considered			
M. P. H.		11/12/03			
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					

Sheet 10 of 10

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 003-007-C5		Application No. 10/006,088	
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))				Applicant SLIWA et al.			
				Filing Date December 5, 2001		Group Art Unit 3739	
				Other Art (Including Author, Title, Date, Pages, etc.)			
EXAMINER INITIAL							
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	C37	Von Oppell et al., "Effectiveness of two radiofrequency ablation systems in atrial tissue," <u>Euro J of Cardio-thoracic Surg</u> , (2001); 20: 956-960					
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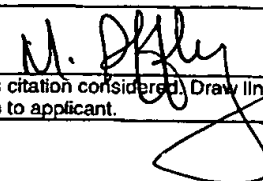
Examiner Signature 	Date Considered 11/12/03
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Sheet 1 of 2

Substitute Form PTO-1449 (Modified)  <b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. <b>003-007-C5</b>	Application No. <b>10/006,088</b>
	Applicant <b>SLIWA et al.</b>		
	Filing Date <b>December 5, 2001</b>	Group Art Unit <b>3739</b>	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
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Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
MP	AS	WO 95/10321	04/20/1995	PCT				
	AT	WO 95/10978	04/27/1995	PCT				
	AU	WO 96/26675	09/06/1996	PCT				
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	AW	WO 97/17904	05/22/1997	PCT				
	AX	WO 97/25916	07/24/1997	PCT				

Examiner Signature 	Date Considered <b>11/12/03</b>
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Substitute Disclosure Form (PTO-1449)

Sheet 2 of 2


Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. <b>003-007-C5</b>	Application No. <b>10/006,088</b>
<p align="center"><b>Information Disclosure Statement by Applicant</b></p> <p align="center">(Use several sheets if necessary)</p> <p align="left">(37 CFR §1.98(b))</p>		Applicant <b>SLIWA et al.</b>	
		Filing Date <b>December 5, 2001</b>	Group Art Unit <b>3739</b>

### Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
MS	AY	WO 97/25919	07/24/1997	PCT				
	AZ	WO 97/32525	09/12/1997	PCT				
	AAA	WO 97/37607	10/16/1997	PCT				
	ABB	WO 97/41793	11/13/1997	PCT				
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	AFF	Avitall et al., "A Thoracoscopic Approach to Ablate Atrial Fibrillation Via Linear Radiofrequency Lesion Generation on the Epicardium of Both Atria," PACE, April 1996;19(Part II):626,#241
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MP	AMM	Sie et al., "Radiofrequency Ablation of Atrial Fibrillation in Patients Undergoing Mitral Valve Surgery. First Experience," Circulation (November 1996) 96:450,1-675,#3946

Examiner Signature 	Date Considered 4/12/03
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